

**Financial Disclosure Statement - 2017****Filer Name** Kristina Johnson**Primary Agency** SUNY System Administration (28650)**1. Name****Responses**

	First	M.I.	Last	Email
1)	Kristina	M	Johnson	

**2a. Position - Title****Responses**

	Title
1)	Chanc St Univirsty Ny

**2b. Position - Department****Responses**

	Department/Agency/Gov. Entity
1)	SUNY System Administration (28650)

**2c. Position - Address of Present Office****Responses**

	Street 1	Street 2	City	State	Zip	Country
1)	State University Plaza		Albany	NY	12246	US

**2d. Position - Office Telephone Number****Responses**

	Office Telephone
1)	5183201480

**3a. Family - Marital Status****Responses**

	Marital Status	Spouse's Name
1)	Married	Veronica Meinhard

**3b. Family - Unemancipated Children****Responses****Name***None***4a. Positions of Authority**

List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

**Responses**

	Position	Organization	State or Local Agency
1)	Director	AES Corporation	
2)	Director	Cisco Corporation	
3)	Director - Resigned May 9, 2017	Boston Scientific Corporation	
4)	Senior Advisor	I Squared Capital	
5)	Director	Enduring Hydro, LLC - Resigned	
6)	Chief Executive Officer and Director	Cube Hydro Partners, LLC - resigned Sept. 1, 2017	

**4b. Positions of Authority - Spouse or Unemancipated Child**

List any office, trusteeship, directorship, partnership, or position of any nature, whether compensated or not, held by the spouse or unemancipated child of the reporting individual with any firm, corporation, association, partnership, or other organization other than the State of New York. Include compensated honorary positions; do NOT list membership or uncompensated honorary positions. If the listed entity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

**Responses**

	Spouse, Child	Position	Organization	State or Local Agency
1)	Spouse	Assistant Vice-President for University Relations	University of Maryland, College Park, MD	

**5a. Outside Employment**

List the name, address and description of any occupation, employment (other than the employment listed under Item 2 above), trade, business or profession engaged in by the reporting individual. If such activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name of any such agency.

**Responses**

	Position	Name of Organization	Street 1	Street 2	City	State	Zip	Country	Description	State or Local Agency
1)	Senior Advisor	ISquared Capital Partners, LLC	410 Park Ave	suite 830	New York City	NY	10022	US	Senior Advisor in clean energy	
2)	Chief Executive Officer - Resigned Sept. 1, 2017	Cube Hydro Partners, LLC	Two Bethesda Metro Center	Suite 1330	Bethesda	MD	20185	US	Hydropower Company	
3)	Chief Executive Officer - Resigned Sept. 1, 2017	Enduring Hydro, LLC	1634 14th Street		Washington	DC	20009	US	Investment Manager	

**5b. Outside Employment - Spouse or Unemancipated Child**

If the spouse or unemancipated child of the reporting individual was engaged in any occupation, employment, trade, business or profession which activity was licensed by any state or local agency, was regulated by any state regulatory agency or local agency, or, as a regular and significant part of the business or activity of said entity, did business with, or had matters other than ministerial matters before, any state or local agency, list the name, address and description of such occupation, employment, trade, business or profession and the name of any such agency.

**Responses**

Spouse, Child	Position	Name of Organization	Street 1	Street 2	City	State	Zip	Country	Description	State or Local Agency
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None

**6. Contracts**

List any interest, in EXCESS of \$1,000, held by the reporting individual, such individual's spouse or unemancipated child, or partnership of which any such person is a member, or corporation, 10% or more of the stock of which is owned or controlled by any such person, whether vested or contingent, in any contract made or executed by a state or local agency and include the name of the entity which holds such interest and the relationship of the reporting individual or such individual's spouse or such child to such entity and the interest in such contract. Do NOT include bonds and notes. Do NOT list any interest in any such contract on which final payment has been made and all obligations under the contract except for guarantees and warranties have been performed, provided, however, that such an interest must be listed if there has been an ongoing dispute during the calendar year for which this statement is filed with respect to any such guarantees or warranties. Do NOT list any interest in a contract made or executed by a local agency after public notice and pursuant to a process for competitive bidding or a process for competitive requests for proposals.

**Responses**

Self, Spouse, Child	Entity Which Held Interest in Contract	Relationship to Entity and Interest in Contract	Contracting State or Local Agency	Category of Value of Contract (In Table II)
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**None**

**7. Political Activities**

List any position the reporting individual held as an officer of any political party or political organization, as a member of any political party committee, or as a political party district leader. The term "party" shall have the same meaning as "party" in the election law. The term "political organization" means any party or independent body as defined in the election law or any organization that is affiliated with or a subsidiary of a party or independent body.

**Responses**

Position
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**None**

**8a. Licensed Professions and Business Relationships - Licensed Professions**

If the reporting individual practices law, is licensed by the department of state as a real estate broker or agent or practices a profession licensed by the department of education, or works as a member or employee of a firm required to register pursuant to section one-e of the legislative law as a lobbyist, describe the services rendered for which compensation was paid including a general description of the principal subject areas of matters undertaken by such individual and principal duties performed. Specifically state whether the reporting individual provides services directly to clients. Additionally, if such an individual practices with a firm or corporation and is a partner or shareholder of the firm or corporation, give a general description of principal subject areas of matters undertaken by such firm or corporation.

**Responses**

Subject Areas	Description of Services
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*None*

**8b. Licensed Professions and Business Relationships - Not Applicable**

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER JULY FIRST, TWO THOUSAND TWELVE AND BEFORE DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), then identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period for such services rendered in direct connection with:

- (i) A contract in an amount totaling \$50,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$25,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or knowingly solicit or direct to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in subparagraphs (i) through (iv) of this paragraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in this question shall not require disclosure of clients or customers receiving medical or dental services, mental health services, residential real estate brokering services, or insurance brokering services from the reporting individual or his or her firm. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, or domestic relations matters. With respect to clients represented in other matters, where disclosure of a client's identity is likely to cause harm, the reporting individual shall request an exemption from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, provided, however, that a reporting individual who first enters public office after July first, two thousand twelve, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

**Responses**

Client	Nature of Services Provided
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Client	Nature of Services Provided
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**None**

### **8ba. [Question 8(b-1) (paper)] - Licensed Professions and Business Relationships - Service Provided to Clients in Connection with State Matter**

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES): If the reporting individual receives income from employment reportable in question 8(a) and personally provides services to any person or entity, or works as a member or employee of a partnership or corporation that provides such services (referred to hereinafter as a "firm"), the reporting individual shall identify each client or customer to whom the reporting individual personally provided services, or who was referred to the firm by the reporting individual, and from whom the reporting individual or his or her firm earned fees in excess of \$10,000 during the reporting period in direct connection with:

- (i) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (ii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iii) A grant obtained through a legislative initiative during the reporting period; or
- (iv) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period.

For such services rendered by the reporting individual directly to each such client, describe each matter that was the subject of such representation, the services actually provided and the payment received. For payments received from clients referred to the firm by the reporting individual, if the reporting individual directly received a referral fee or fees for such referral, identify the client and the payment so received.

For purposes of this question, "referred to the firm" shall mean: having intentionally and knowingly taken a specific act or series of acts to intentionally procure for the reporting individual's firm or having knowingly solicited or directed to the reporting individual's firm in whole or substantial part, a person or entity that becomes a client of that firm for the purposes of representation for a matter as defined in clauses (i) through (iv) of this subparagraph, as the result of such procurement, solicitation or direction of the reporting individual. A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

## **Responses**

Client Name	Matter	Nature of Services Provided	Category of Amount(In Table I)
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**None**

**8bb. [Question 8(b-2)(i) (paper)] - Licensed Professions and Business Relationships - Other Service Provided to Clients**

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN (FOR PURPOSES OF THIS QUESTION, "SERVICES" SHALL MEAN CONSULTATION, REPRESENTATION, ADVICE OR OTHER SERVICES):

(i) With respect to reporting individuals who receive ten thousand dollars or more from employment or activity reportable under question 8(a), for each client or customer NOT otherwise disclosed or exempted in question 8 or 13, disclose the name of each client or customer known to the reporting individual to whom the reporting individual provided services: (A) who paid the reporting individual in excess of five thousand dollars for such services; or (B) who had been billed with the knowledge of the reporting individual in excess of five thousand dollars by the firm or other entity named in question 8(a) for the reporting individual's services.

FOLLOWING IS AN ILLUSTRATIVE, NON-EXCLUSIVE LIST OF EXAMPLES OF DESCRIPTIONS OF "SERVICES ACTUALLY PROVIDED":

- \* REVIEWED DOCUMENTS AND CORRESPONDENCE;
- \* REPRESENTED CLIENT (IDENTIFY CLIENT BY NAME) IN LEGAL PROCEEDING;
- \* PROVIDED LEGAL ADVICE ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- \* CONSULTED WITH CLIENT OR CONSULTED WITH LAW PARTNERS/ASSOCIATES/MEMBERS OF FIRM ON CLIENT MATTER (IDENTIFY CLIENT BY NAME);
- \* PREPARED CERTIFIED FINANCIAL STATEMENT FOR CLIENT (IDENTIFY CLIENT BY NAME);
- \* REFERRED INDIVIDUAL OR ENTITY (IDENTIFY CLIENT BY NAME) FOR REPRESENTATION OR CONSULTATION;
- \* COMMERCIAL BROKERING SERVICES (IDENTIFY CUSTOMER BY NAME);
- \* PREPARED CERTIFIED ARCHITECTURAL OR ENGINEERING RENDERINGS FOR CLIENT (IDENTIFY CUSTOMER BY NAME);
- \* COURT APPOINTED GUARDIAN OR EVALUATOR (IDENTIFY COURT NOT CLIENT).

## Responses

Client	Services Actually Provided	Category of Amount (In Table I)
<b>None</b>		



**8bc. [Question 8(b-2)(ii) (paper)] - Licensed Professions and Business Relationships - Services Provided to Firm**

(ii) With respect to reporting individuals who disclosed in question 8(a) that the reporting individual did not provide services to a client but provided services to a firm or business, identify the category of amount received for providing such services and describe the services rendered.

A reporting individual need not disclose activities performed while lawfully acting in his or her capacity as provided in paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article.

The disclosure requirement in questions (b-1) and (b-2) shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and professional disciplinary rules, federal law or regulations restrict the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response to questions (b-1) and (b-2) that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by professional disciplinary rules, federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements in questions (b-1) and (b-2). The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state

agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after January first, two thousand sixteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

## Responses

Services Actually Provided	Category of Amount (In Table I)
	None

**8c. Licensed Professions and Business Relationships - Registered Lobbyist Referrals**

APPLICABLE ONLY TO NEW CLIENTS OR CUSTOMERS FOR WHOM SERVICES ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN, OR FOR NEW MATTERS FOR EXISTING CLIENTS OR CUSTOMERS WITH RESPECT TO THOSE SERVICES THAT ARE PROVIDED ON OR AFTER DECEMBER THIRTY-FIRST, TWO THOUSAND FIFTEEN:

If the reporting individual receives income of ten thousand dollars or greater from any employment or activity reportable under question 8(a), identify each registered lobbyist who has directly referred to such individual a client who was successfully referred to the reporting individual's business and from whom the reporting individual or firm received a fee for services in excess of five thousand dollars. Report only those referrals that were made to a reporting individual by direct communication from a person known to such reporting individual to be a registered lobbyist at the time the referral is made. With respect to each such referral, the reporting individual shall identify the client, the registered lobbyist who has made the referral, the category of value of the compensation received and a general description of the type of matter so referred. A reporting individual need not disclose activities performed while lawfully acting pursuant to paragraphs (c), (d), (e) and (f) of subdivision seven of section seventy-three of this article. The disclosure requirements in this question shall not require disclosing clients or customers receiving medical, pharmaceutical or dental services, mental health services, or residential real estate brokering services from the reporting individual or his or her firm or if federal law prohibits or limits disclosure. The reporting individual need not identify any client to whom he or she or his or her firm provided legal representation with respect to investigation or prosecution by law enforcement authorities, bankruptcy, family court, estate planning, or domestic relations matters, nor shall the reporting individual identify individuals represented pursuant to an insurance policy but the reporting individual shall in such circumstances only report the entity that provides compensation to the reporting individual; with respect to matters in which the client's name is required by law to be kept confidential (such as matters governed by the family court act) or in matters in which the reporting individual represents or provides services to minors, the client's name may be replaced with initials. To the extent that the reporting individual, or his or her firm, provided legal representation with respect to an initial public offering, and federal law or regulations restricts the disclosure of information relating to such work, the reporting individual shall (i) disclose the identity of the client and the services provided relating to the initial public offering to the office of court administration, who will maintain such information confidentially in a locked box; and (ii) include in his or her response a statement that pursuant to this paragraph, a disclosure to the office of court administration has been made. Upon such time that the disclosure of information maintained in the locked box is no longer restricted by federal law or regulation, the reporting individual shall disclose such information in an amended disclosure statement in response to the disclosure requirements of this paragraph. The office of court administration shall develop and maintain a secure portal through which information submitted to it pursuant to this paragraph can be safely and confidentially stored. With respect to clients represented in other matters not otherwise exempt, the reporting individual may request an exemption to publicly disclosing the name of that client from the joint commission pursuant to paragraph (i-1) of subdivision nine of section ninety-four of the executive law, or from the office of court administration. In such application, the reporting individual shall state the following: "My client is not currently receiving my services or seeking my services in

connection with:

- (i) A proposed bill or resolution in the senate or assembly during the reporting period;
- (ii) A contract in an amount totaling \$10,000 or more from the state or any state agency for services, materials, or property;
- (iii) A grant of \$10,000 or more from the state or any state agency during the reporting period;
- (iv) A grant obtained through a legislative initiative during the reporting period; or
- (v) A case, proceeding, application or other matter that is not a ministerial matter before a state agency during the reporting period."

In reviewing the request for an exemption, the joint commission or the office of court administration may consult with bar or other professional associations and the legislative ethics commission for individuals subject to its jurisdiction and may consider the rules of professional conduct. In making its determination, the joint commission or the office of court administration shall conduct its own inquiry and shall consider factors including, but not limited to: (i) the nature and the size of the client; (ii) whether the client has any business before the state; and if so, how significant the business is; and whether the client has any particularized interest in pending legislation and if so how significant the interest is; (iii) whether disclosure may reveal trade secrets; (iv) whether disclosure could reasonably result in retaliation against the client; (v) whether disclosure may cause undue harm to the client; (vi) whether disclosure may result in undue harm to the attorney-client relationship; and (vii) whether disclosure may result in an unnecessary invasion of privacy to the client.

The joint commission or, as the case may be, the office of court administration shall promptly make a final determination in response to such request, which shall include an explanation for its determination. The office of court administration shall issue its final determination within three days of receiving the request. Notwithstanding any other provision of law or any professional disciplinary rule to the contrary, the disclosure of the identity of any client or customer in response to this question shall not constitute professional misconduct or a ground for disciplinary action of any kind, or form the basis for any civil or criminal cause of action or proceeding. A reporting individual who first enters public office after December thirty-first, two thousand fifteen, need not report clients or customers with respect to matters for which the reporting individual or his or her firm was retained prior to entering public office.

## Responses

Client	Description of Matter	Name of Lobbyist	Category of Amount (In Table I)
<i>None</i>			

List the name, principal address and general description or the nature of the business activity of any entity in which the reporting individual or such individual's spouse had an investment in excess of \$1,000 excluding investments in securities and interests in real property.

Business Activity	
1)	Cube Hydro Partners, LLC - is an operating company I co-founded with I-Squared Capital Partners in January of 2014. I served as CEO and a Board member until I started as Chancellor of the State University of New York on September 4, 2017. I no longer serve as either CEO or as a board member. I am an unpaid board observer to Cube Hydro Partners, in my role as a senior advisor (uncompensated) to I-Squared Capital Partners. My W2 for 2016 showed reported W2 wages of \$332,033.37 and my W2 for 2017, prior to becoming Chancellor was \$247,117.29. I also have up to 13.8% of the profits interest in EHPG, LLC which will ultimately be valued based on the sale of Cube Hydro Partners, LLC.
2)	I-Squared Capital Partners, LLC - I was a senior advisor to I-Squared Capital, a compensated position, prior to becoming Chancellor. After becoming Chancellor, this became an unpaid position. I was paid \$157,800.03 in 2017, prior to becoming Chancellor and was paid \$45,833.70 in 2016 as a senior advisor to I Squared Capital.
3)	EHPG, LLC is an investment vehicle for investing in Cube Hydro Partners, LLC. As of the beginning of my service as Chancellor of SUNY, I had invested \$734,979.80 in Cube Hydro Partners, LLC through EHPG, LLC (Investment B Units). I also had 385 Incentive Units in EHPG, LLC, which had only vested 40% when I left Cube Hydro to join SUNY. I was the General Manager of EHPG, LLC, which I relinquished once I started as Chancellor of SUNY.
4)	Enduring Hydro, LLC - is an investment company that I founded and through both myself as an individual (1211 shares) and through another investment vehicle called Johnson Energy Holdings, LLC, (57,990 shares) I own a total of 59,201 shares out of a total of 121,517 shares or 49%. This gives me 49% of less than 1.5% of the equity interest in Cube Hydro Partners, LLC, a company I co-founded to bring more renewable energy in the form of hydropower onto the grid.

List each source of gifts, EXCLUDING campaign contributions, in EXCESS of \$1,000, received during the reporting period for which this statement is filed by the reporting individual or such individual's spouse or unemancipated child from the same donor, EXCLUDING gifts from a relative. INCLUDE the name and address of the donor. The term "gifts" does not include reimbursements, which term is defined in item 10. Indicate the value and nature of each such gift.

Self, Spouse, Child	Name of Donor	Street 1	Street 2	City	State	Zip	Country	Nature of Gift	Category of Value of Gift (In Table I)
<i>None</i>									

**10. Reimbursements**

Identify and briefly describe the source of any reimbursements for expenditures, EXCLUDING campaign expenditures and expenditures in connection with official duties reimbursed by the state, in EXCESS of \$1,000 from each such source. For purposes of this item, the term "reimbursements" shall mean any travel-related expenses provided by nongovernmental sources and for activities related to the reporting individual's official duties such as, speaking engagements, conferences, or factfinding events. The term "reimbursements" does NOT include gifts reported under item 9.

**Responses**

	Source	Description
1)	Cisco Systems	Travel to Board Meetings
2)	AES Corporation	Travel to Board Meetings
3)	3. Boston Scientific Corporation	Travel to Board Meetings. I left the Board in May of 2017 in anticipation of starting as Chancellor of SUNY in Sept. of 2017

**11. Retirement, Trust, Estates**

List the identity and value, if reasonably ascertainable, of each interest in a trust, estate or other beneficial interest, including retirement plans (other than retirement plans of the state of New York or the city of New York), and deferred compensation plans (e.g., 401, 403(b), 457, etc.) established in accordance with the internal revenue code, in which the REPORTING INDIVIDUAL held a beneficial interest in EXCESS of \$1,000 at any time during the preceding year. Do NOT report interests in a trust, estate or other beneficial interest established by or for, or the estate of, a relative.

**Responses**

	Identity	Category of Value (In Table II) - * The value of such interest shall be reported only if reasonably ascertainable.
1)	SEP IRA	\$250,000 to under \$500,000
2)	Traditional IRA	\$20,000 to under \$50,000
3)	TIAA	\$1,500,000 to under \$1,750,000

**Attachments**

- Kristina Johnson Holdings in 3 Accounts at Wells Fargo 12-31-2017.xlsx
- Attachment to Question 12 Securities KMJ 2017.pdf

Positions held in Kristina Johnson's SEP IRA Account on 12-31-2017.

Description	Category	Symbol or CUSIP	Quantity	Price 12-31-2017	Market Value 12-31-2017
Apple	Stock	AAPL	100	\$169.23	\$16,923.00
Boeing	Stock	BA	70	\$294.91	\$20,643.70
Broadcom	Stock	AVGO	60	\$256.90	\$15,414.00
Delta Airlines	Stock	DAL	200	\$56.00	\$11,200.00
HCA Healthcare	Stock	HCA	120	\$87.84	\$10,540.80
Ishares 1-3 Year Treasury Credit Bond	Fixed Income Exchange Traded Fund (ETF)	CSJ	150	\$104.54	\$15,681.00
Ishares 3-7 Year Treasury Bond	Fixed Income Exchange Traded Fund (ETF)	IEI	150	\$122.16	\$18,324.00
Ishares TIP Bond	Fixed Income Exchange Traded Fund (ETF)	TIP	175	\$114.08	\$19,964.00
NISSAN Motor	Stock	NSANY	500	\$19.90	\$9,950.00
Pimco 1-3 Year US Treasury	Fixed Income Exchange Traded Fund (ETF)	TUZ	300	\$50.29	\$15,085.68
Pimco Enhanced Short Maturity	Fixed Income Exchange Traded Fund (ETF)	MINT	200	\$101.56	\$20,312.00
Priceline Group	Stock	PCLN	6	\$1,737.74	\$10,426.44
Prudential Financial	Stock	PRU	100	\$114.98	\$11,498.00
Sony	Stock	SNE	300	\$44.95	\$13,485.00
Time Warner	Stock	TWX	100	\$91.47	\$9,147.00
Halliburton Debenture	Fixed Income	406216AH4	20,000	\$117.53	\$23,505.40
AT&T Global Note	Fixed Income	00209TAB1	15000	\$130.64	\$19,596.15
Cigna Notes	Fixed Income	125509AH2	15000	\$120.83	\$18,124.05
Weyerhaeuser Debenture	Fixed Income	962166AS3	20000	\$117.27	\$23,454.00
Walmart Debenture	Fixed Income	931142AU7	25000	\$120.78	\$30,193.75
Proctor & Gamble Debenture	Fixed Income	742718BH1	25000	\$124.43	\$31,108.00
Coca Cola Enterprises Debentures	Fixed Income	191219AW4	25000	\$127.15	\$31,788.00
Stanford University	Fixed Income	854403AE2	35000	\$100.24	\$35,083.65
Duke University	Fixed Income	26442TAE7	30000	\$97.30	\$29,190.60
AT&T Preferred	Fixed Income	TBB	1000	\$26.09	\$26,090.00
Rydex Series Funds Biotechnology Class A	Equity Mutual fund	RYBOX	583.6749	\$80.68	\$47,090.89
Cash	Cash	N/A	N/A	N/A	\$7,066.44

Account closing value 12-31-2017

\$540,885.55

All data comes from the Wells Fargo monthly statement

All holdings are listed in the same order as the monthly statement

Positions held in Kristina Johnson's Traditional IRA Account on 12-31-2017.

Description	Category	Symbol	Quantity	Price 12-31-2017	Market Value 12-31-2017
Global X Funds	Fixed Income Exchange Traded Fund (ETF)	SPFF	170	\$12.16	\$2,067.20
Ishares Russell 2000	Equity Exchange Traded Fund (ETF)	IWM	15	\$152.46	\$2,286.90
Ishares US Preferred	Fixed Income Exchange Traded Fund (ETF)	PFF	60	\$38.07	\$2,284.20
Ishares High Yield Corporate Bond	Fixed Income Exchange Traded Fund (ETF)	HYG	30	\$87.26	\$2,617.80
Pimco 0-5 Year High Yield Corporate Bond	Fixed Income Exchange Traded Fund (ETF)	HYS	25	\$100.48	\$2,512.00
Powershares Preferred Portfolio	Fixed Income Exchange Traded Fund (ETF)	PGX	150	\$14.86	\$2,229.00
Powershares Emerging Markets Debt	Fixed Income Exchange Traded Fund (ETF)	PCY	80	\$29.54	\$2,363.20
Powershares QQQ	Equity Exchange Traded Fund (ETF)	QQQ	18	\$155.76	\$2,803.68
Powershares Variable Rate Preferred	Fixed Income Exchange Traded Fund (ETF)	VRP	90	\$25.66	\$2,309.40
Sector SPDR Technology	Equity Exchange Traded Fund (ETF)	XLK	40	\$63.95	\$2,558.00
Select Sector SPDR Health Care	Equity Exchange Traded Fund (ETF)	XLV	30	\$82.68	\$2,480.40
SPDR Blackstone Senior Loan	Fixed Income Exchange Traded Fund (ETF)	SRLN	50	\$47.18	\$2,359.00
SPDR Bloomberg Short Term High Yield Bond	Fixed Income Exchange Traded Fund (ETF)	SJNK	80	\$27.56	\$2,204.80
SPDR S&P 500	Equity Exchange Traded Fund (ETF)	SPY	10	\$266.86	\$2,668.60
Vanguard International Equity Emerging Markets	Equity Exchange Traded Fund (ETF)	VWO	50	\$45.91	\$2,295.50
Vanguard Total Stock Market	Equity Exchange Traded Fund (ETF)	VTI	17	\$137.25	\$2,333.25
Eaton Vance Senior Floating Rate	Fixed Income Exchange Traded Fund (ETF)	EFR	170	\$14.44	\$2,454.80
Cash	Cash	N/A	N/A	N/A	\$7,064.05

Account closing value 12-31-2017

\$47,891.78

All data comes from the Wells Fargo monthly statement

All holdings are listed in the same order as the monthly statement



Positions held in Kristina Johnson's Individual Account on 12-31-2017.

Description	Category	Symbol	Quantity	Price 12-31-2017	Market Value 12-31-2017
Boston Scientific Stock	Stock	BSX	76,677	\$24.79	\$1,900,822.83

Cash	Cash	N/A	N/A	N/A	(\$524,932.02)	Margin loan
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Account closing value 12-31-2017

\$1,375,890.81

All data comes from the Wells Fargo monthly statement

The client has \$0 cash. The client has a margin loan on the account.

**Annuity contracts Reportable as TIAA/CREF Non-NYS- Question 12**

<b>Self/Spouse</b>	<b>Issuing Entity</b>	<b>Type</b>	<b>%</b>	<b>Value</b>
<b>Self</b>	TIAA C958752-2 TIAA	Traditional Annuity contract	<b>N/A</b>	<b>J</b>
<b>Self</b>	TIAA B591559-6 TIAA	Traditional Annuity Contract	<b>N/A</b>	<b>I</b>
<b>Self</b>	CREF Q591559-3 CREF Stock R3	<b>Annuity Contract</b>	<b>N/A</b>	<b>I</b>
<b>Self</b>	TIAA 327349L-1 TIAA Acc Lfcycle 2020	<b>Annuity Contract</b>	<b>N/A</b>	<b>C</b>
<b>Self</b>	CREF 427349L-9 CREF Money Market R3	<b>Annuity Contract</b>	<b>N/A</b>	<b>D</b>

**12a. Employment Agreements - Agreements Related to Future Employment**

Describe the terms of, and the parties to, any contract, promise, or other agreement between the reporting individual and any person, firm, or corporation with respect to the employment of such individual after leaving office or position (other than a leave of absence).

**Responses**

Parties	Terms
<i>None</i>	

**12b. Employment Agreements - Employment Agreements With Prior Employer**

Describe the parties to and the terms of any agreement providing for continuation of payments or benefits to the REPORTING INDIVIDUAL in EXCESS of \$1,000 from a prior employer OTHER THAN the State. (This includes interests in or contributions to a pension fund, profit-sharing plan, or life or health insurance; buy-out agreements; severance payments; etc.)

**Responses**

	Parties	Terms
1)	Cube Hydro Partners	Separation Agreement includes up to \$250,000 and up to 13.8% of profits interest in EHPG

**13. Income**

List below the nature and amount of any income in EXCESS of \$1,000 from EACH SOURCE for the reporting individual and such individual's spouse for the taxable year last occurring prior to the date of filing. Each such source must be described with particularity. Nature of income includes, but is not limited to, all income (other than that received from the employment listed under Item 2 above) from compensated employment whether public or private, directorships and other fiduciary positions, contractual arrangements, teaching income, partnerships, honorariums, lecture fees, consultant fees, bank and bond interest, dividends, income derived from a trust, real estate rents, and recognized gains from the sale or exchange of real or other property. Income from a business or profession and real estate rents shall be reported with the source identified by the building address in the case of real estate rents and otherwise by the name of the entity and not by the name of the individual customers, clients or tenants, with the aggregate net income before taxes for each building address or entity. The receipt of maintenance received in connection with a matrimonial action, alimony and child support payments shall not be listed.

**Responses**

	Self, Spouse	Source	Nature	Category of Amount (In Table I)
1)	Self	Boston Scientific Corporation	Director Fees	\$100,000 to under \$150,000
2)	Self	ISquared Capital	Senior Advisor	\$20,000 to under \$50,000
3)	Self	AES	Director Fees	\$250,000 to under \$350,000
4)	Self	Cisco Corporation	Director Fees	\$250,000 to under \$350,000
5)	Self	Cube Hydro Partners	Employment	\$250,000 to under \$350,000
6)	Spouse	University of Maryland, College Park	Interim Assistant Vice-President for University Relations, Employment	\$150,000 to under \$250,000

**14. Income Due**

List the sources of any deferred income (not retirement income) in EXCESS of \$1,000 from each source to be paid to the reporting individual following the close of the calendar year for which this disclosure statement is filed, other than deferred compensation reported in item 11 hereinabove. Deferred income derived from the practice of a profession shall be listed in the aggregate and shall identify as the source, the name of the firm, corporation, partnership or association through which the income was derived, but shall not identify individual clients.

**Responses**

	Source	Category of Amount (In Table I)
1)	Cube Hydro Partners	\$250,000 to under \$350,000

**15. Income Assignment/Asset Transfer**

List each assignment of income in EXCESS of \$1,000, and each transfer other than to a relative during the reporting period for which this statement is filed for less than fair consideration of an interest in a trust, estate or other beneficial interest, securities or real property, by the reporting individual, in excess of \$1,000, which would otherwise be required to be reported herein and is not or has not been so reported.

**Responses**

Item Assigned or Transferred	Assigned or Transferred To	Category of Amount (In Table I)
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*None*

**16. Investments**

List below the type and market value of securities held by the reporting individual or such individual's spouse from each issuing entity in EXCESS of \$1,000 at the **close of the taxable year last occurring** prior to the date of filing, including the name of the issuing entity exclusive of securities held by the reporting individual issued by a professional corporation. Whenever an interest in securities exists through a beneficial interest in a trust, the securities held in such trust shall be listed ONLY IF the reporting individual has knowledge thereof except where the reporting individual or the reporting individual's spouse has transferred assets to such trust for his or her benefit in which event such securities shall be listed unless they are not ascertainable by the reporting individual because the trustee is under an obligation or has been instructed in writing not to disclose the contents of the trust to the reporting individual. Securities of which the reporting individual or the reporting individual's spouse is the owner of record but in which such individual or the reporting individual's spouse has no beneficial interest shall not be listed. Indicate percentage of ownership ONLY if the reporting person or the reporting person's spouse holds more than five percent (5%) of the stock of a corporation in which the stock is publicly traded or more than ten percent (10%) of the stock of a corporation in which the stock is NOT publicly traded. Also list securities owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. For the purpose of this item the term "securities" shall mean mutual funds, bonds, mortgages, notes, obligations, warrants and stocks of any class, investment interests in limited or general partnerships and certificates of deposits (CDs) and such other evidences of indebtedness and certificates of interest as are usually referred to as securities. The market value for such securities shall be reported only if reasonably ascertainable and shall not be reported if the security is an interest in a general partnership that was listed in item 8(a) or if the security is corporate stock, NOT publicly traded, in a trade or business of a reporting individual or a reporting individual's spouse.

**Responses**

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
1)	Self	Cisco Corporation	Stock		\$750,000 to under \$1,000,000
2)	Self	Cisco Corporation	Dividend		\$5,000 to under \$20,000
3)	Self	Enduring Hydro Partners Group, LLC	Investment "B" Units		\$750,000 to under \$1,000,000
4)	Self	Enduring Hydro Partners Group, LLC	Incentive Units		\$1,000,000 to under \$1,250,000

	Self, Spouse	Issuing Entity	Type of Security	Percentage of corporate stock owned or controlled (if more than 5% of publicly traded stock, or more than 10% if stock not publicly traded, is held)	Category of Market Value as of the close of the taxable year last occurring prior to the filing of this statement (In Table II)
5)	Self	AES Corporation	Dividends	0	\$150,000 to under \$250,000
6)	Self	AES	Corporation		\$1,500,000 to under \$1,750,000
7)	Self	Boston Scientific	Stock		\$1,500,000 to under \$1,750,000
8)	Self	EHPG, LLC	profits interests via incentive units	14	\$1,000,000 to under \$1,250,000
9)	Self	Enduring Hydro, LLC	Equity Interest as an individual and Johnson Energy Holdings, LLC passive investment	49%	\$750,000 to under \$1,000,000
10)	Self	EHPG, LLC	Investment "B" Units	14	\$750,000 to under \$1,000,000

### Attachments

- Attachment to Question 16 Securities KMJ 2017.pdf

Attachment to Question 16 Securities

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Self/Spouse	Issuing Entity	Type	% of Ownership	Value (Letter Assigned as of 12/31/2017)
SELF	DFA Emerging Markets I	Securities	n/a	F
SELF	T-C Mid-Cap Gr-Inst	Securities	n/a	E
SELF	T-C Mid-Cap Val-Inst	Securities	n/a	E
SELF	T-C Lg-Cap Gr Idx-Inst	Securities	n/a	E
SELF	T-C Lg-Cap Val Idx-Inst	Securities	n/a	E
SELF	T-C Gr & Inc-Inst	Securities	n/a	H
SELF	West Asset Core Plus Bd I	Bonds	n/a	E
SELF	Vanguard Selected Value Inv.	Securities	n/a	I
SELF	T-C Sm-Cap Eq-Inst	Securities	n/a	I
SELF	Artisan Mid Cap Inst	Securities	n/a	I



**17. Real Estate**

List below the location, size, general nature, acquisition date, market value and percentage of ownership of any real property in which any vested or contingent interest in EXCESS of \$1,000 is held by the reporting individual or the reporting individual's spouse. Also list real property owned for investment purposes by a corporation more than fifty percent (50%) of the stock of which is owned or controlled by the reporting individual or such individual's spouse. Do NOT list any real property which is the primary or secondary personal residence of the reporting individual or the reporting individual's spouse, except where there is a co-owner who is other than a relative.

**Responses**

Self, Spouse, Corporation	Location	Size	General Nature	Acquisition Date	Percentage of Ownership	Category of Market Value (In Table II)
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*None*

**18. Money Due**

List below all notes and accounts receivable, other than from goods or services sold, held by the reporting individual at the close of the taxable year last occurring prior to the date of filing and other debts owed to such individual at the close of the taxable year last occurring prior to the date of filing, in EXCESS of \$1,000, including the name of the debtor, type of obligation, date due and the nature of the collateral securing payment of each, if any, excluding securities reported in item 16 hereinabove. Debts, notes and accounts receivable owed to the individual by a relative shall not be reported.

**Responses**

Name of Debtor	Type of Obligation	Due Date	Nature of Collateral	Category of Amount (In Table II)
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*None*

**19. Debts**

List below all liabilities of the reporting individual and such individual's spouse, in EXCESS of \$10,000 as of the date of filing of this statement, other than liabilities to a relative. Do NOT list liabilities incurred by, or guarantees made by, the reporting individual or such individual's spouse or by any proprietorship, partnership or corporation in which the reporting individual or such individual's spouse has an interest, when incurred or made in the ordinary course of the trade, business or professional practice of the reporting individual or such individual's spouse. Include the name of the creditor and any collateral pledged by such individual to secure payment of any such liability. A reporting individual shall not list any obligation to pay maintenance in connection with a matrimonial action, alimony or child support payments. Any loan issued in the ordinary course of business by a financial institution to finance educational costs, the cost of home purchase or improvements for a primary or secondary residence, or purchase of a personally owned motor vehicle, household furniture or appliances shall be excluded. If any such reportable liability has been guaranteed by any third person, list the liability and name the guarantor.

**Responses**

	Name of Creditor or Guarantor	Type of Liability and Collateral, if any	Category of Amount (In Table II)
1)	Bank of the West	Home Equity Loan	\$250,000 to under \$500,000
2)	Wells Fargo Bank	Mortgage	\$500,000 to under \$750,000

**20. Agreement**

The requirements of law relating to the reporting of financial interests are in the public interest and no adverse inference of unethical or illegal conduct or behavior will be drawn merely from compliance with these requirements.

**Responses**

	I agree
1)	true

**20a. Agreement**